

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No.		10392/460043
First Inventor		Steven M.H. WALLMAN
Title		Method and Apparatus for Enabling Individual or Smaller Investors or Others to Create and Manage a Portfolio of Securities or Other Assets or Liabilities on a Cost Effective Basis
Express Mail Label No.		

APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents.</small>		ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i></p> <p>2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages 78] <i>(preferred arrangement set forth below)</i> - Descriptive title of the Invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (<i>if filed</i>) - Detailed Description - Claim(s) - Abstract of the Disclosure</p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C.113) [Total Sheets 16]]</p> <p>5. Oath or Declaration [Total Pages 2]] a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <i>(for a continuation/divisional with Box 18 completed)</i> i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>		<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (<i>if applicable, all necessary</i>) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies</p>	
ACCOMPANYING APPLICATIONS PARTS			
<p>9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>10. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney (<i>when there is an assignee</i>)</p> <p>11. <input type="checkbox"/> English Translation Document (<i>if applicable</i>)</p> <p>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i></p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (<i>if foreign priority is claimed</i>)</p> <p>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</p> <p>17. <input checked="" type="checkbox"/> Other: <u>Power of Attorney or Authorization of Agent</u></p>			

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No: 09 / 139,020

Prior application information: Examiner Alain L. Bashore Group / Art Unit: 3624

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label <i>(Insert Customer No. or Attach bar code label here)</i>		or <input type="checkbox"/> Correspondence address below					
Name	Bradley J. Meier KENYON & KENYON						
	1500 K Street, N.W. Suite #700						
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Name (Print/Type)	Bradley J. Meier		Registration No. (Attorney/Agent)		44,236
Signature				Date	July 28, 2003

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 15535 U.S. PTO
 10/627626
 07/28/03


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FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

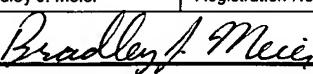
 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 750)

Complete if Known	
Application Number	Div. of 09/139,020
Filing Date	July 28, 2003
First Named Inventor	Steven M.H. WALLMAN
Examiner Name	Alain L. Bashore
Group / Art Unit	3624
Attorney Docket No.	10392/460043

METHOD OF PAYMENT (check all that apply)				FEE CALCULATION (continued)				
<input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money <input type="checkbox"/> Other <input type="checkbox"/> None <input checked="" type="checkbox"/> Deposit Account Order				3. ADDITIONAL FEES Large Entity Small Entity				
Deposit Account Number <div style="border: 1px solid black; padding: 2px;">11-0600</div> Deposit Account Name <div style="border: 1px solid black; padding: 2px;">Kenyon & Kenyon</div>				Fee Code	Fee (\$)	Fee Code	Fee (\$)	
				1051	130	2051	65	Surcharge - late filing fee or oath
				1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.
				1053	130	1053	130	Non-English specification
				1812	2,520	1812	2,520	For filing a request for reexamination
				1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action
				1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action
				1251	110	2251	55	Extension for reply within first month
				1252	410	2252	205	Extension for reply within second month
				1253	930	2253	465	Extension for reply within third month
				1254	1,450	2254	725	Extension for reply within fourth month
				1255	1,970	2255	985	Extension for reply within fifth month
				1401	320	2401	160	Notice of Appeal
				1402	320	2402	160	Filing a brief in support of an appeal
				1403	280	2403	140	Request for oral hearing
				1451	1,510	1451	1,510	Petition to institute a public use proceeding
				1452	110	2452	55	Petition to revive – unavoidable
				1453	1,300	2453	650	Petition to revive – unintentional
				1501	1,300	2501	650	Utility issue fee (or reissue)
				1502	470	2502	235	Design issue fee
				1503	630	2503	315	Plant issue fee
				1460	130	1460	130	Petitions to the Commissioner
				1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)
				1806	180	1806	180	Submission of Information Disclosure Stmt
				8021	40	8021	40	Recording each patent assignment per property (times number of properties)
				1809	750	2809	375	Filing a submission after final rejection (37 CFR § 1.129(a))
				1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))
				1801	750	2801	375	Request for Continued Examination (RCE)
				1802	900	1802	900	Request for expedited examination of a design application
				Other fee (specify)				
				*Reduced by Basic Filing Fee Paid		SUBTOTAL (3) (\$ 0)		

**or number previously paid, if greater; For Reissues, see above

SUBMITTED BY						Complete (if applicable)
Name (Print/Type)	Bradley J. Meier		Registration No. Attorney/Agent)	44,236	Telephone	202/220-4200
Signature				Date	July 28, 2003	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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